

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	6383316
<b>Application Number:</b>	10655409
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	6575
<b>Title of Invention:</b>	Computer-implemented securities trading system with a virtual specialist function
<b>First Named Inventor/Applicant Name:</b>	Timothy M. Keiser
<b>Customer Number:</b>	63710
<b>Filer:</b>	Glen Farbanish/LAURA ALTO
<b>Filer Authorized By:</b>	Glen Farbanish
<b>Attorney Docket Number:</b>	98-HSX001-C5
<b>Receipt Date:</b>	03-NOV-2009
<b>Filing Date:</b>	04-SEP-2003
<b>Time Stamp:</b>	15:43:46
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	no
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### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/Message Digest	Multi Part/.zip	Pages (if appl.)
1	NPL Documents	Advisory_Action_for_US_Application_Serial_No_10-822484_mailed_060814_3pgs.pdf	123133 d259fdb481ff87f7adbc10ec09fac201d5a6b92e	no	3

### Warnings:

### Information:

2	NPL Documents	11-279997_Office_Action_01-1 4-09.pdf	445885 4fb1ca057ca5f7bdee7dc28e44c8016956e3 9054	no	15
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3	NPL Documents	11-279997_Interview_Summar y_07-09-09.pdf	61706 c1f05a994a6f0cf00c000e514851924a948f7 6d4	no	2
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6	NPL Documents	10-822484_Interview_Summar y_07-10-09.pdf	165927 970fe078df07e6e8335810d2715c17c9a3e7 8b19	no	4
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7	NPL Documents	10-301527_Office_Action_10-0 8-03.pdf	212137 a82a7570d68bb593d175092f334363bf49c b1b20	no	6
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42	NPL Documents	Office_Action_for_US_Application_Serial_No_10-822484_mail ed_070605_15pgs.pdf	544181 6286ba27519b75c5ec4199af49514153c76 48800	no	15
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46	NPL Documents	09-465607_ExaminerInterview_Summary_mailed_010524.pdf	77266 8ba4a35ee1a6d3e6d3ea492249b2252639f ee418	no	2
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56	NPL Documents	60-462176_Application.pdf	194681 9f101db7ba60deaeabbab5e727eeb5f179bc 7f3a9	no	3
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<b>Information:</b>					
<b>Total Files Size (in bytes):</b>			21135178		
<p><b>This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.</b></p> <p><b>New Applications Under 35 U.S.C. 111</b>  <b>If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</b></p> <p><b>National Stage of an International Application under 35 U.S.C. 371</b>  <b>If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.</b></p> <p><b>New International Application Filed with the USPTO as a Receiving Office</b>  <b>If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.</b></p>					